IFW

4 A		 -					
TRANS	SMITTAL F	ORM	Application No.	10/65	9,958		
			Filing Date	Septe	mber 10, 2003		
(to be used for all correspondence after initial filing)		First Named Inventor	Jiann	-Chang Lo			
		Art Unit .	2828				
			Examiner Name	Not A	Assigned		
Total Number of F	Pages in This Submiss	ion	Attorney Docket Numbe	42P1	5593		
ENCLOSURES (check all that apply)							
Fee Transmittal	Form	Drawing(s)			After Allowance Communication to Group		
Fee Attac	hed	Licensing-r	related Papers		Appeal Communication to Board of Appeals and Interferences		
Amendment / Re	esponse	Petition			Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
After Fina Affidavits	ıl /declaration(s)	Petition to 0 Provisional	Convert a Application		Proprietary Information		
Extension of Tin	ne Request	Power of A Change of	ttorney, Revocation Correspondence Address	1	Status Letter		
Express Abandonment Request		Terminal Disclaimer			Other Enclosure(s) (please identify below):		
<u> </u>	Information Disclosure Statement		Request for Refund		copy of PCT Search Report eturn postcard		
PTO/SB/0	08	CD, Number of CD(s)			•		
Certified Copy of Document(s)		:					
Response to Mincomplete Appl	ssing Parts/ lication	Remarks			-		
Basic	Filing Fee						
	aration/POA						
Response Parts und 1.52 or 1.	e to Missing er 37 CFR 53						
	SIGNATUR	E OF APPLICA	NT, ATTORNEY, OR A	GENT			
Firm or	Gregory D. Cal	dwell, Reg. No	o. 39,926				
Individual name	BLAKELY, S	OKOZOFE.	ŢAYLOR & ZAFI	MAN I	LLP		
Signature							
Date	Date May 2, 2005						
	· · · · · · · · · · · · · · · · · · ·		ING/TRANSMISSION				
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.							
Typed or printed na	Typed or printed name Katherine Jennings						
Signature	(NI/vene	AC ennugo		Date	May 2, 2005		

Based on PTO/SB/21 (04-04) as modified by Blakely, Solokoff, Taylor & Zafman (wir) 06/04/2004. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Complete if Known

Application Number 10/659,958

Filling Date September 10, 2003

First Named Inventor Jiann-Chang Lo

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number 10/659,958

Filling Date September 10, 2003

First Named Inventor Jiann-Chang Lo

Examiner Name Not Assigned

Art Unit 2828

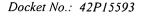
Attorney Docket No. 42P15593

TOTAL	ANIOUNI O	FFATIVIE	11	Attorney Docket No.	42P15593					
METHOD OF PAYMENT (check all that apply)										
Check [□ Check □ Credit card □ Money Order ☒ None □ Other (please identify):									
Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP										
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)										
Charge fee(s) indicated below Charge fee(s) indicated below, except for the filing fee										
☐ Credit any overpayments Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.										
FEE CALCULATION										

Large Eı		Small	<u>_</u>							
Fee	Fee	Fee	Fee	Fee Description		Fee Paid				
Code	(\$)	Code	(\$)	·						
1051	130	2051		Surcharge - late filing fee or oath						
1052	50	2052		Surcharge - late provisional filing fee or cover sheet.						
2053	130	2053		Non-English specification						
1251	120	2251		Extension for reply within first month						
1252	450	2252	225	Extension for reply within second month						
1253	1,020	2253	510	Extension for reply within third month						
1254	1,590	2254	795	Extension for reply within fourth month						
1255	2,160	2255	1,080	Extension for reply within fifth month						
1401	500	2401		Notice of Appeal	Notice of Appeal					
1402	500	2402	250	Filing a brief in support of an appeal						
1403	1,000	2403	500	Request for oral hearing						
1451	1,510	2451	1,510	Petition to institute a public use proc	eeding					
1460	130	2460	130	Petitions to the Commissioner						
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)						
1806	180	1806	180	Submission of Information Disclosure	e Stmt					
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))						
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))						
Other f	ee (spe	cify)								
				•	SUBTOTAL (2) (\$					

SUBMITTED BY Complete (if applicable)							
Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attorney/Agent)	39,926 Telephone	(503) 439-8778			
Signature			Date	05/02/05			

Based on PTO/SB/17 (12-04) as modified by Blakely Bolokoff, Taylor 7 75 man wir) 12/13/2004. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

in Re the Application of:

JIANN-CHANG LO, ET AL.

Application No.: 10/659,958

Filed: September 10, 2003

For: **SEEKING AND TRACKING CONTROL**

FOR LOCKING TO TRANSMISION

PEAK for a TUNABLE LASER

Art Group: 2828

Examiner: Not Assigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

The references were cited in a Search Report dated February 1, 2005 (copy enclosed herewith) in a counterpart PCT application.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, MYLOR & ZAFMAN LLP

Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Boulevard, 7th Floor Los Angeles, CA 90025

Telephone: (503) 439-8778

Date: May 02, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

05-02-05

Date



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 | **of** | 2

Complete if Known						
Application Number	10/659,958					
Filing Date	September 10, 2003					
First Named Inventor	Jiann-Chang Lo					
Art Unit	2828					
Examiner Name	Not Assigned					
Attorney Docket Number	42P15593					

			U.S. PATE	NT DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number - Kind Code² (if known)	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
	1	US-2002/0075918	06-20-2002	Crowder	-
	2	US-2003/0142701	07-31-2003	Pontis et al	
	3	US-6,222,861	04-24-2001	Kuo et al	
	4	US-2003/0033819	02-20-2003	Prescott	
		US-			
	i	US-			
		US-			
		US-			
	├ 	US-			
		US-			
	 	US-			
		US-			
	-	US-			
		US-			

FOREIGN PATENT DOCUMENTS								
Examiner Cite	Cito	Foreign Patent Document			Pages, Columns, Lines,			
Initials* No.1		Country Code - Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear			
	· !							
	<u> </u>							
	-							
	!							
	1							
				•				
	:							

Examiner	Date	
Signature	Considered	

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

'Applicant's unique citation designation number (optional)?See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04?Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).*For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possibf&pplicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

Substitute f	for form 1449A/PTO			Co	Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			CHDE	Application Number	10/659,958		
			SUKE	Filing Date	September 10, 2003		
			CANT	First Named Inventor	Jiann-Chang Lo		
				Art Unit	2828		
				Examiner Name	Not Assigned		
Sheet 2 of 2		Attorney Docket Number	42P15593				

NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²				
	5	PCT Search Report dated 2-1-05					
	1						
	;	·					

Examiner	Date	
Signature	Considered	

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

'Applicant's unique citation designation number. Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003. Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450